



2132  
41

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application No.	09/539,344
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Art Unit	2132
		Examiner Name	G. Gurshman
Total Number of Pages in This Submission		Attorney Docket Number	42390P8098

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input checked="" type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> PTO/SB/08  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"><ul style="list-style-type: none"><li>- Relined Copy of Filing Receipt</li><li>- Copies of previously submitted IDSs</li><li>- Return Postcard</li></ul></div>
Remarks		<div style="text-align: center;"><b>RECEIVED</b> JUN 18 2004 Technology Center 2100</div>

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Gregory D. Caldwell, Reg. No. 39,926 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	June 8, 2004

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.			
Typed or printed name	Derek S. Watson		
Signature		Date	June 8, 2004

# FEE TRANSMITTAL for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

## Complete if Known

Application Number 09/539,344  
Filing Date March 31, 2000  
First Named Inventor Carl M. Ellison  
Examiner Name G. Gurshman  
Art Unit 2132  
Attorney Docket No. 42390P8098

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☒ None  
☐ Deposit Account

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) or underpayment of fees as required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					

### 2. EXTRA CLAIM FEES

Total Claims 20\*\* =  X  =   
Independent Claims 3 =  X  =   
Multiple Dependent  =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple Dependent claim, if not paid	
1204	86	2204	43	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					

\*\*or number previously paid, if greater, For Reissues, see below

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1404	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	1809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					


\*Reduced by Basic Filing Fee Paid

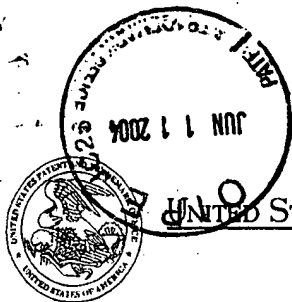
SUBTOTAL (3)

(\$)

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type) Gregory D. Caldwell  
Signature   
Registration No. (Attorney/Agent) 39,926  
Telephone (714) 557-3800  
Date 06/08/04



COPY

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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/539,344	03/31/2000	2785	1978	042390.P8098	13	80	4

EAT

Blakely Sokoloff Taylor & Zafman LLP  
12400 Wilshire Boulevard Seventh Floor  
Los Angeles, CA 90025

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SEP 25 2000

## FILING RECEIPT



\*OC000000005409230\*

Date Mailed: 09/19/2000

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Carl M. Ellison, Portland, OR ;  
Roger A. Golliver, Beaverton, OR ;  
Howard C. Herbert, Phoenix, AZ ;  
Derrick C. Lin, Foster City, CA ;  
Francis X. McKeen, Portland, OR ;  
Gil Neiger, Portland, OR ;  
Ken Reneris, Wilbraham, MA ;  
James A. Sutton, Portland, OR ;  
Shreekant S. Thakkar, Portland, OR ;  
~~Millard Mittal, Palo Alto, CA ;~~

"Millind"

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SEP 25 2000

B.S.T. DATABASE DEPT.

JK

**ENTERED**  
9/27/2000

## Continuing Data as Claimed by Applicant

## Foreign Applications

If Required, Foreign Filing License Granted 06/03/2000

## Title

Managing a secure platform using a hierarchical executive architecture in isolated execution mode

## Preliminary Class

713

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SEP 25 2000

STATUS DB-LA

9/18/00

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Data entry by : TUTT, TONDENICA

Team : OIPE

Date: 09/19/2000



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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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Customer Service Center  
Washington, DC 20231

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BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

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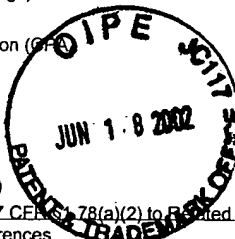
BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP  
COSTA MESA

Application No.: 09/539,344 Filing Date: 03/31/00 BSTZ Docket #: 042390.P8098 Atty/Sec: WWS/crr  
Date Mailed: 06/14/2002 Docket Due Date(s): \_\_\_\_\_ Client: Intel Corporation  
Title Managing Secure Platform Using a Hierarchical Executive Architecture in Isolated Execution Mode

Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, Reneris, Sutton, Thakkar, Mittal

*The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:*

- |   |  |
|---|--|
| <input type="checkbox"/> Amendment: (___ pgs)   | <input checked="" type="checkbox"/> Information Disclosure Statement & PTO/SB/08 (___ pgs) |
| <input type="checkbox"/> Appeal Brief & two copies (___ pgs)  | <input type="checkbox"/> Issue Fee Transmittal (original & copy)                           |
| <input type="checkbox"/> Application:<br>(___ pages w/ cover & abstract)  | <input type="checkbox"/> Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i)            |
| <input type="checkbox"/> Assignment & Cover Sheet (___ pgs)   | <input type="checkbox"/> Notice of Appeal  |
| <input checked="" type="checkbox"/> Certificate of Mailing  | <input type="checkbox"/> Petition for: _____   |
| <input type="checkbox"/> Continued Prosecution Application (CPA)  | <input type="checkbox"/> Request for Continued Examination (RCE)                           |
| <input type="checkbox"/> Declaration & POA (___ pgs)  | <input type="checkbox"/> Reply Brief (___ pgs)   |
| <input type="checkbox"/> Drawings: ___ sheets, ___ figures  | <input type="checkbox"/> Request to Rescind Previous Nonpublication Request                |
| <input type="checkbox"/> Express Mail No: _____   | <input type="checkbox"/> Response to Notice of Missing Parts & Formalities Letter          |
| <input type="checkbox"/> Extension of Time: _____   | <input type="checkbox"/> Terminal Disclaimer   |
| <input checked="" type="checkbox"/> Fee Transmittal (original & copy)   | <input type="checkbox"/> Transmittal of Formal Drawings                                    |
| <input checked="" type="checkbox"/> Other Cross-Reference Under 37 C.F.R. 1.78(a)(2) to Related Applications: <u>7 Cited References</u> | <input type="checkbox"/> Transmittal of Publication Fee Due                                |
|   | <input checked="" type="checkbox"/> Transmittal Letter                                     |
|   | <input type="checkbox"/> Check No. _____ in the Amount of _____                            |
|   | <input type="checkbox"/> Check No. _____ in the Amount of _____                            |



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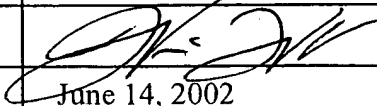
<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application No.	09/539,344
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Group Art Unit	2785
		Examiner Name	Unassigned
Total Number of Pages in This Submission	16	Attorney Docket Number	42390P8098


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ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application   <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">Cross-Reference Under 37 CFR §1.78(a)(2) to Related Applications; 7 Cited References</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	June 14, 2002

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: <b>June 14, 2002</b>			
Typed or printed name	Corrinn R. Reynolds		
Signature		Date	June 14, 2002

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

## Complete if Known

Application Number 09/539,344  
Filing Date March 31, 2000  
First Named Inventor Carl M. Ellison  
Examiner Name Unassigned  
Group/Art Unit 2785  
Attorney Docket No. 42390P8098

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JUN 18 2004

Technology Center 2100

## METHOD OF PAYMENT (check one)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None  
☐ Deposit Account

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of the application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

### 2. EXTRA CLAIM FEES

Total Claims  - \*\* =  X  =   
Independent Claims  - \*\* =  X  =   
Multiple Dependent  =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple Dependent claim, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$)

\*\*or number previously paid, if greater, For Reissues, see below

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
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147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	* Requesting publication of SIR prior to Examiner action	
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115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					
* Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					(\$)

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type) William W. Schaal Registration No. 39,018 Telephone (714) 557-3800  
Signature [Signature] Date 06/14/02

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.  
SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Ellison, et al.

Application No.: 09/538,344

Filed: March 31, 2000

For: Managing a Secure Platform Using a  
Hierarchical Executive Architecture in  
Isolated Execution Mode

Examiner: Unassigned

Art Group: 2785

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JUN 1 8 2004

Technology Center 2100

Assistant Commissioner for Patents  
Washington, D.C. 20231

**CROSS-REFERENCE UNDER 37 C.F.R. §1.78(a)(2) TO RELATED APPLICATIONS**

Sir/Madam:

Pursuant to 37 C.F.R. §1.78(a)(2), applicants hereby cross-reference the following related patent applications, which are all assigned to the same assignee as the present patent application.

(1) A U.S. Patent Application entitled Platform And Method For Remote Attestation Of A Platform by Howard C. Herbert, et al., Application No. 09/541,108, filed March 31, 2000.

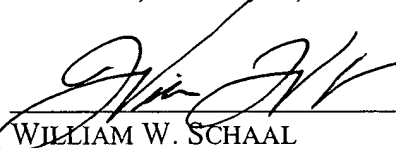
(2) A U.S. Patent Application entitled Generating A Key Hierarchy For Use In An Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/539,348, filed March 31, 2000.

If there are any charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: June 14, 2002

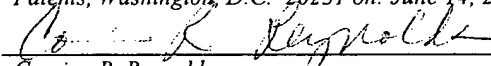
  
WILLIAM W. SCHAAL

Reg. No. 39,018

12400 Wilshire Boulevard, Seventh Floor  
Los Angeles, California 90025  
(714) 557-3800

**CERTIFICATE OF MAILING**

*I hereby certify that this correspondence is being deposited  
with the United States Postal Service as first class mail in  
an envelope addressed to: Assistant Commissioner for  
Patents, Washington, D.C. 20231 on: June 14, 2002.*

  
Corrin R. Reynolds

6/14/02  
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: **Managing Secure Platform Using a  
Heirarchical Executive Architecture in  
Isolated Execution Mode**

Art Group: 2785

Examiner: Unassigned

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JUN 1 8 2004

Technology Center 2100

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

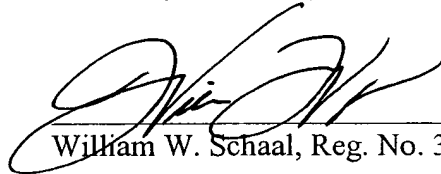
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: June 14, 2002

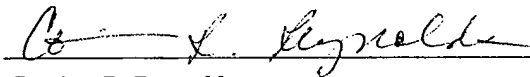


William W. Schaal, Reg. No. 39,018

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

June 14, 2002



Corrin R. Reynolds

06-14-02

Date



Substitute for Form 1449A/PTO (Modified)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	09/538,344
Filing Date	3/31/00
First Named Inventor:	Ellison, et. al.
Group Art Unit	2785
Examiner Name	Unassigned Technology Center
Attorney Docket Number	042390.P8098

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Sheet

2

042390.P8098

2

## OTHER ART – NO PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		"M68040 USER'S MANUAL", 1993, MOTOROLA INC., page 1-5 – page 1-9, page 1-13- page 1-20, page 2-1-page 2-3, page 4-1, page 8-9-page 8-11	
		"INTEL 386 DX MICROPROCESSOR 32-BIT CHMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT", 12/31/95, INTEL INC., page 32-56; figure 4-14	
		JOE HEINRICH:"MIPS R4000 MICROPROCESSOR USER'S MANUAL", 1994, MIPS TECHNOLOGY INC., MOUNTAIN VIEW, CA, pages 67-79	
		BERG C: "HOW DO I CREATE A SIGNED APPLETT?", DR. DOBB'S JOURNAL, M&T PUBL., REDWOOD CITY, CA, US, VOL. 22, NO. 8, 8 '97, page 109-111, 122	
		GONG L ET AL: "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2", PROCEEDINGS OF THE USENIX SYMPOSIUM ON INTERNET TECHNOLOGIES AND SYSTEMS, MONTERY, CA 12 '97, pages 103-112	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

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SEP 25 2001

B.S.T.Z. DATABASE DEPT.

Te

Application No.: 09/539,344 Filing Date: 03/31/00 BSTZ Docket #: 042390.P8098  
Date Mailed: 09/04/2001 Docket Due Date: Client: Intel Corporation Atty/Sec: WWS/lrr  
Title: MANAGING A SECURE PLATFORM USING A HIERARCHICAL EXECUTIVE ARCHITECTURE IN ISOLATED  
EXECUTION MODE

Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, Renneris, Sutton, Thakkar, Mittal  
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- ☐ Amendment/Response ( \_\_\_ pgs)  
☐ Amendment/Response After Final ( \_\_\_ pgs)  
☐ Appeal Brief & two copies ( \_\_\_ pgs each)  
☐ Application: ( \_\_\_ pages w/ cover & abstract)  
☐ Assignment & Cover Sheet ( \_\_\_ pgs)  
☒ Certificate of Mailing  
☐ Declaration & POA ( \_\_\_ pgs)  
☐ Disclosure Docs & Inv's Signed Ltr  
☐ Drawings: \_\_\_ sheets, \_\_\_ figures  
☐ Express Mail No. \_\_\_\_\_  
☒ Fee Transmittal (original & copy)  
☒ Other: *Twenty-four cited references*
- ☒ Information Disclosure Statement & PTO-1449 (4 pgs)  
☐ Issue Fee Transmittal (original & copy)  
☐ Notice of Appeal  
☐ Petition for Extension of Time: \_\_\_\_\_  
☐ Petition for \_\_\_\_\_ ( \_\_\_ pgs)  
☐ Power of Attorney ( \_\_\_ pgs)  
☐ Preliminary Amendment ( \_\_\_ pgs)  
☐ Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)  
☐ Reply Brief ( \_\_\_ pgs)  
☐ Response to Notice of Missing Parts & PTO-1533 ( \_\_\_ pgs)  
☐ Supplemental Amendment ( \_\_\_ pgs)  
☒ Transmittal Letter  
☐ Check No. 1 Amount \_\_\_\_\_  
☐ Check No. 2 Amount \_\_\_\_\_  
☐ Check No. 3 Amount \_\_\_\_\_

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BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP  
COSTA MESA

Application No.: 09/539,344 Filing Date: 03/31/00 BSTZ Docket #: 042390.P8098 Atty/Sec: WWS/lrr  
Date Mailed: 09/04/2001 Docket Due Date: \_\_\_\_\_ Client: Intel Corporation  
Title MANAGING A SECURE PLATFORM USING A HIERARCHICAL EXECUTIVE ARCHITECTURE IN ISOLATED  
EXECUTION MODE

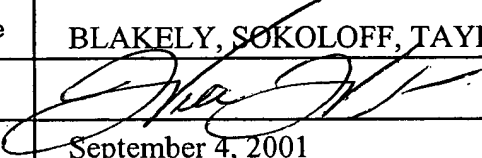
Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, Reneris, Sutton, Thakkar, Mittal

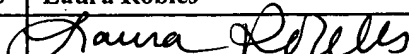
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- |   |   |
|---|---|
| <input type="checkbox"/> Amendment/Response ( _____ pgs)                      | <input checked="" type="checkbox"/> Information Disclosure Statement & PTO-1449 ( <u>4</u> pgs) |
| <input type="checkbox"/> Amendment/Response After Final ( _____ pgs)          | <input type="checkbox"/> Issue Fee Transmittal (original & copy)                                |
| <input type="checkbox"/> Appeal Brief & two copies ( _____ pgs each)          | <input type="checkbox"/> Notice of Appeal   |
| <input type="checkbox"/> Application: _____                                   | <input type="checkbox"/> Petition for Extension of Time: _____                                  |
| ( _____ pages w/ cover & abstract)  | <input type="checkbox"/> Petition for _____ ( _____ pgs)  |
| <input type="checkbox"/> Assignment & Cover Sheet ( _____ pgs)                | <input type="checkbox"/> Power of Attorney ( _____ pgs)   |
| <input checked="" type="checkbox"/> Certificate of Mailing                    | <input type="checkbox"/> Preliminary Amendment ( _____ pgs)                                     |
| <input type="checkbox"/> Declaration & POA ( _____ pgs) _____                 | <input type="checkbox"/> Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)              |
| <input type="checkbox"/> Disclosure Docs & Inv's Signed Ltr                   | <input type="checkbox"/> Reply Brief ( _____ pgs)   |
| <input type="checkbox"/> Drawings: _____ sheets, _____ figures                | <input type="checkbox"/> Response to Notice of Missing Parts & PTO-1533 ( _____ pgs)            |
| <input type="checkbox"/> Express Mail No. _____                               | <input type="checkbox"/> Supplemental Amendment ( _____ pgs)                                    |
| <input checked="" type="checkbox"/> Fee Transmittal (original & copy)         | <input checked="" type="checkbox"/> Transmittal Letter  |
| <input checked="" type="checkbox"/> Other <u>Twenty-four cited references</u> | <input type="checkbox"/> Check No. 1 _____ Amount _____   |
| _____   | <input type="checkbox"/> Check No. 2 _____ Amount _____   |
| _____   | <input type="checkbox"/> Check No. 3 _____ Amount _____   |
| _____   |   |

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application No.	09/539,344
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Group Art Unit	2785
		Examiner Name	Not Assigned
Total Number of Pages in This Submission	7	Attorney Docket Number	42390P8098

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> To Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Small Entity Statement  <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):  <div style="border: 1px solid black; padding: 5px; width: fit-content;">         PTO-1449 with cited references.       </div>
Remarks The total number of pages does not include the twenty-four cited references.		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	September 4, 2001

CERTIFICATE OF MAILING/TRANSMISSION			
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			September 4, 2001
Typed or printed name	Laura Robles		
Signature		Date	September 4, 2001

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PTO/SB/17 (12/99)

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)

## Complete if Known

Application No.	09/539,344
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Examiner Name	Not Assigned
Group/Art Unit	2785
Attorney Docket Number	42390P8098

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

02-2666

Deposit  
Account  
Name

Blakely, Sokoloff, Taylor & Zafman LLP

- ☒ Charge Any Additional Fee(s) Required  
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)

(\$)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims			
Multiple Dependent			

\*\*or number previously paid, if greater, For Reissues, see below

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	260	204	135	Multiple Dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	*Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	*Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	390	216	195	Extension for response within second month	
117	890	217	445	Extension for response within third month	
118	1,390	218	695	Extension for response within fourth month	
128	1,890	228	945	Extension for response within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)

William W. Schaal

Registration No.  
(Attorney/Agent)

39,018

Telephone

(714) 557-3800

Signature

Date

09/04/01

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.**

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<b>Substitute for Form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary.)</i>				<b>Complete if Known</b>	
				Application Number	09/539,344
				Filing Date	March 31, 2000
				First Named Inventor	Carl M. Ellison
				Group Art Unit	2785
				Examiner Name	Unassigned
Sheet	1	of	2	Attorney Docket Number	042390.P8098

### U.S. PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Name	Class	Sub- class	Filing Date (if appropriate)
	4,278,837	07/14/81	Best			
	4,521,852	06/04/85	Guttag			
	5,022,077	06/04/91	Bealkowski et al.			
	5,293,424	03/08/94	Holtey et al.			
	5,421,006	05/30/95	Jablon et al.			
	5,473,692	12/05/95	Davis			
	5,479,509	12/26/95	Ugon			
	5,568,552	10/22/96	Davis			
	5,657,445	08/12/97	Pearce			
	5,729,760	03/17/98	Poisner			
	5,796,845	08/18/98	Serikawa et al.			
	5,805,712	09/08/98	Davis			
	5,835,594	11/10/98	Albrecht et al.			
	5,844,986	12/01/98	Davis			
	5,937,063	08/10/99	Davis			
	5,978,481	11/02/99	Ganesan et al.			
	6,014,745	01/11/00	Ashe			
	6,058,478	05/02/00	Davis			
	6,158,546	12/12/00	Hanson et al.			
	6,175,925	01/16/01	Nardone et al.			
	B1					

### FOREIGN PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Country	Class	Sub- class	Translation	
						Yes	No

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: **MANAGING A SECURE PLATFORM  
USING A HIERARCHICAL EXECUTIVE  
ARCHITECTURE IN ISOLATED  
EXECUTION MODE**

Art Group: 2785

Examiner: Not Assigned

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of the Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

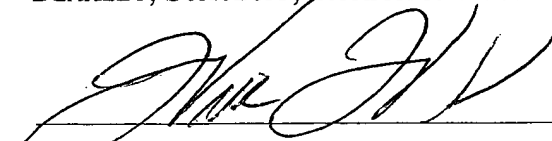
Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any additional fee due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

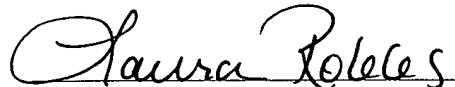
Date: September 04, 2001

  
\_\_\_\_\_  
William W. Schaal, Reg. No. 39,018

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
Telephone: (714) 557-3800

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\_\_\_\_\_  
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BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
COSTA MESA

Application No.: 09/539,344 Filing Date: 3/31/2000

Docket #: 42390.P8098

Date Mailed: 12/16/2003 Due Date(s): \_\_\_\_\_

Client: INTEL CORPORATION

Atty/Sec: WWS/crr

Title: Managing Secure Platform Using a Hierarchical Executive Architecture in Isolated Execution Mode

First Named Inventor: Carl M. Ellison

*The following has been received in the U.S.P.T.O. on the date stamped hereon:*

Certificate of Mailing  
Fee Transmittal (original & copy)  
Information Disclosure Statement & PTO/SB/08 (4 pgs)  
Transmittal Letter  
Cited References  
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Assignee: Intel Corporation



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BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
SUNNYVALE

Application No.: 09/539,344 Filing Date: 3/31/2000

Docket #: 42390.P8098

Date Mailed: 12/16/2003

Due Date(s): \_\_\_\_\_

Client: INTEL CORPORATION

Atty/Sec: WWS/crr

Title: Managing Secure Platform Using a Hierarchical Executive Architecture in Isolated Execution Mode

First Named Inventor: Carl M. Ellison

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Information Disclosure Statement & PTO/SB/08 (4 pgs)

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Cited References

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Assignee: Intel Corporation

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: **Managing Secure Platform Using a  
Hierarchical Executive Architecture in  
Isolated Execution Mode**

Art Group: 2785

Examiner: Unassigned

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JUN 18 2004

Technology Center 2100

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

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Applicant has concurrently submitted an electronic Information Disclosure Statement(s). Any fees that are required for submission of an Information Disclosure Statement were included in the electronic submission. Applicant respectfully requests that one submitted fee be accepted for the second and any subsequent Information Disclosure Statement submissions.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: December 10, 2003

  
\_\_\_\_\_  
William W. Schaal, Reg. No. 39,018

3200 Park Center Drive, Suite 750  
Costa Mesa, CA 92626  
Telephone: (714) 557-3800

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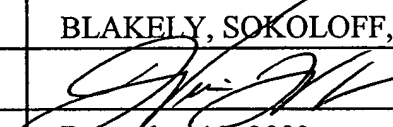
  
\_\_\_\_\_  
Corrin R. Reynolds

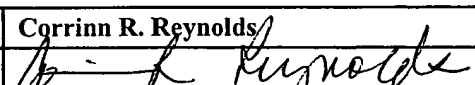
  
12-<sup>11</sup>~~10~~-03  
\_\_\_\_\_  
Date

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application No.	09/539,344
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Art Unit	2785
		Examiner Name	Unassigned
Total Number of Pages in This Submission		Attorney Docket Number	42390P8098

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JUN 18 2004  
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ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <div style="border: 1px solid black; padding: 5px; min-height: 80px;">Cited References</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	December 10, 2003

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.			
Typed or printed name	Corrinn R. Reynolds	11 OK	
Signature		Date	December 10, 2003

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT

(\\$)

Complete if Known

Application Number 09/539,344

Filing Date March 31, 2004

First Named Inventor Carl M. Ellison

Examiner Name Unassigned

Group/Art Unit 2785

Attorney Docket No. 42390P8098

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## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None  
☒ Deposit Account

Deposit  
Account  
Number

02-2666

Deposit  
Account  
Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☒ Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\\$)

### 2. EXTRA CLAIM FEES

Total Claims  20\*\* =  X  =   
Independent Claims  3 =  X  =   
Multiple Dependent

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple Dependent claim, if not paid	
1204	86	2204	43	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\\$)

\*\*or number previously paid, if greater. For Reissues, see below

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	1,210	2255	605	Extension for reply within fifth month	
1404	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	1809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\\$)

## SUBMITTED BY

Name (Print/Type)

William W. Schaal

Registration No.  
(Attorney/Agent)

39,018

Telephone

(714) 557-3800

Signature

Date

12/10/03

Based on PTO/SB/17 (08-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wtr) 08/11/2003.  
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Substitute for Form 1449A/PTO (Modified)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/539,344
				Filing Date	March 31, 2000
				First Named Inventor:	Carl M. Ellison
				Group Art Unit	2785
				Examiner Name	Unassigned
				Attorney Docket Number	042390P8098
Sheet	1	of	2		

Substitute for Form 1449A/PTO (Modified)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/539,344
				Filing Date	March 31, 2000
				First Named Inventor:	Carl M. Ellison
				Group Art Unit	2785
				Examiner Name	Unassigned
				Attorney Docket Number	042390P8098
Sheet	1	of	2		

Substitute for Form 1449A/PTO (Modified)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/539,344
				Filing Date	March 31, 2000
				First Named Inventor:	Carl M. Ellison
				Group Art Unit	2785
				Examiner Name	Unassigned
				Attorney Docket Number	042390P8098
Sheet	1	of	2		

Substitute for Form 1449A/PTO (Modified)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/539,344
				Filing Date	March 31, 2000
				First Named Inventor:	Carl M. Ellison
				Group Art Unit	2785
				Examiner Name	Unassigned
				Attorney Docket Number	042390P8098
Sheet	1	of	2		

[illegible][illegible][illegible][illegible][illegible][illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.

<b>Substitute for Form 1449A/PTO (Modified)</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/539,344
				Filing Date	March 31, 2000
				First Named Inventor:	Carl M. Ellison
				Group Art Unit	2785
				Examiner Name	Unassigned
Sheet	2	of	2	Attorney Docket Number	042390P8098
<b>OTHER ART – NO PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T <sup>2</sup>
		GOLDBERG, R., "Survey of virtual machine research," IEEE Computer Magazine 7(6), pp. 34-45, 1974.			
		GUM, P.H., "System/370 Extended Architecture: Facilities for Virtual Machines," IBM J. Research Development, Vol 27, Number 6, pp. 530-544, November 1983			
		ROSENBLUM, M. "Vmware's Virtual Platform: A Virtual Machine Monitor for Commodity PCs," Proceedings of the 11th Hotchips Conference, pp. 185-196, August 1999.			
		LAWTON, K., "Running Multiple Operating Systems Concurrently on an IA32 PC Using Virtualization Techniques," <a href="http://www.plex86.org/research/paper.txt">http://www.plex86.org/research/paper.txt</a> ; 11/29/1999; pp. 1-31.			
		<div style="border: 1px solid black; padding: 5px; transform: rotate(-5deg);"> <b>RECEIVED</b>  JUN 1 8 2004  Technology Center 2100 </div>			

Examiner Signature	Date Considered	
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP  
COSTA MESA

W ✓  
Application No.: 09/539,344 Filing Date: 03/31/00 BSTZ Docket #: 042390.P8098 Atty/Sec: WWS/crr  
Date Mailed: 11/18/2002 Docket Due Date(s):                      Client: Intel Corporation  
Title Managing Secure Platform Using a Hierarchical Executive Architecture in Isolated Execution Mode

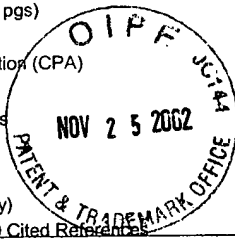
Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, Reneris, Sutton, Thakkar, Mittal

*The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:*

- |  |  |
|--|--|
| <input type="checkbox"/> Amendment: (___ pgs)  | <input checked="" type="checkbox"/> Information Disclosure Statement & PTO/SB/08 (___ pgs) |
| <input type="checkbox"/> Appeal Brief & two copies (___ pgs)                               | <input type="checkbox"/> Issue Fee Transmittal (original & copy)                           |
| <input type="checkbox"/> Application:<br>(___ pages w/ cover & abstract)                   | <input type="checkbox"/> Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i)            |
| <input type="checkbox"/> Assignment & Cover Sheet (___ pgs)                                | <input type="checkbox"/> Notice of Appeal  |
| <input checked="" type="checkbox"/> Certificate of Mailing                                 | <input type="checkbox"/> Petition for: ___   |
| <input type="checkbox"/> Continued Prosecution Application (CPA)                           | <input type="checkbox"/> Request for Continued Examination (RCE)                           |
| <input type="checkbox"/> Declaration & POA (___ pgs)                                       | <input type="checkbox"/> Reply Brief (___ pgs)   |
| <input type="checkbox"/> Drawings: ___ sheets, ___ figures                                 | <input type="checkbox"/> Request to Rescind Previous Nonpublication Request                |
| <input type="checkbox"/> Express Mail No: ___  | <input type="checkbox"/> Response to Notice of Missing Parts & Formalities Letter          |
| <input type="checkbox"/> Extension of Time: ___  | <input type="checkbox"/> Terminal Disclaimer   |
| <input checked="" type="checkbox"/> Fee Transmittal (original & copy)                      | <input type="checkbox"/> Transmittal of Formal Drawings                                    |
| <input checked="" type="checkbox"/> Other <u>Copy of Search Report, 9 Cited References</u> | <input type="checkbox"/> Transmittal of Publication Fee Due                                |
|  | <input checked="" type="checkbox"/> Transmittal Letter                                     |

CM

Assignee: Intel Corporation



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JE

Application No.: 09/539,344 Filing Date: 03/31/00 BSTZ Docket #: 042390.P8098 Atty/Sec: WWS/crr  
Date Mailed: 11/18/2002 Docket Due Date(s): \_\_\_\_\_ Client: Intel Corporation  
Title Managing Secure Platform Using a Hieirrchical Executive Architecture in Isolated Execution Mode

Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, Reneris, Sutton, Thakkar, Mittal

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

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| <input type="checkbox"/> Amendment: (___ pgs)  | <input checked="" type="checkbox"/> Information Disclosure Statement & PTO/SB/08 (___ pgs) |
| <input type="checkbox"/> Appeal Brief & two copies (___ pgs)                               | <input type="checkbox"/> Issue Fee Transmittal (original & copy)                           |
| <input type="checkbox"/> Application: (___ pages w/ cover & abstract)                      | <input type="checkbox"/> Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i)            |
| <input type="checkbox"/> Assignment & Cover Sheet (___ pgs)                                | <input type="checkbox"/> Notice of Appeal  |
| <input checked="" type="checkbox"/> Certificate of Mailing                                 | <input type="checkbox"/> Petition for: _____   |
| <input type="checkbox"/> Continued Prosecution Application (CPA)                           | <input type="checkbox"/> Request for Continued Examination (RCE)                           |
| <input type="checkbox"/> Declaration & POA (___ pgs)                                       | <input type="checkbox"/> Reply Brief (___ pgs)   |
| <input type="checkbox"/> Drawings: ___ sheets, ___ figures                                 | <input type="checkbox"/> Request to Rescind Previous Nonpublication Request                |
| <input type="checkbox"/> Express Mail No: _____  | <input type="checkbox"/> Response to Notice of Missing Parts & Formalities Letter          |
| <input type="checkbox"/> Extension of Time: _____  | <input type="checkbox"/> Terminal Disclaimer   |
| <input checked="" type="checkbox"/> Fee Transmittal (original & copy)                      | <input type="checkbox"/> Transmittal of Formal Drawings                                    |
| <input checked="" type="checkbox"/> Other <u>Copy of Search Report, 9 Cited References</u> | <input type="checkbox"/> Transmittal of Publication Fee Due                                |
| _____  | <input checked="" type="checkbox"/> Transmittal Letter                                     |
| _____  | <input type="checkbox"/> Check No. _____ in the Amount of _____                            |
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Assignee: Intel Corporation

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: **Managing Secure Platform Using a  
Heirarchical Executive Architecture in  
Isolated Execution Mode**

Art Group: 2785

Examiner: Unassigned

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**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

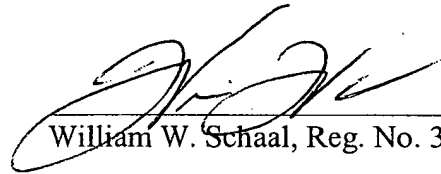
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: November 18, 2002

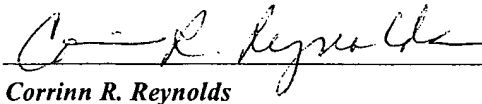


William W. Schaal, Reg. No. 39,018

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(714) 557-3800

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November 18, 2002



Corinn R. Reynolds

11-18-02

Date

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

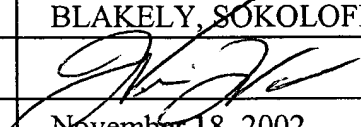
<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application No.	09/539,344
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Group Art Unit	2785
		Examiner Name	Unassigned
Total Number of Pages in This Submission	20	Attorney Docket Number	42390P8098

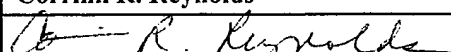
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ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">         SB08, Copy of Search Report and 9 Cited Reference       </div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	November 18, 2002

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:			
			November 18, 2002
Typed or printed name	Corrinn R. Reynolds		
Signature		Date	November 18, 2002

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<h2 style="margin: 0;">FEE TRANSMITTAL</h2> <h3 style="margin: 0;">for FY 2003</h3> <p style="font-size: small; margin: 0;">Patent fees are subject to annual revision.</p>		<p><b>Complete if Known</b></p>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.		Application Number	
		Filing Date	
		First Named Inventor	
		Examiner Name	
		Group/Art Unit	
TOTAL AMOUNT OF PAYMENT		(\$)	
		Attorney Docket No.	

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<h4 style="text-align: center; margin: 0;">METHOD OF PAYMENT (check one)</h4> <p> <input type="checkbox"/> Check    <input type="checkbox"/> Credit card    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other    <input type="checkbox"/> None  <input type="checkbox"/> Deposit Account             </p> <p>                 Deposit Account Number: <span style="border: 1px solid black; padding: 2px;">02-2666</span>                  Deposit Account Name: <span style="border: 1px solid black; padding: 2px;">Blakely, Sokoloff, Taylor &amp; Zafman LLP</span> </p> <p>The Commissioner is authorized to: (check all that apply)</p> <p> <input type="checkbox"/> Charge fee(s) indicated below    <input type="checkbox"/> Credit any overpayments  <input type="checkbox"/> Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.  <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account             </p> <h4 style="text-align: center; margin: 0;">FEE CALCULATION</h4> <div style="border: 1px solid black; padding: 5px;"> <h5 style="margin: 0;">1. BASIC FILING FEE</h5> <table style="width: 100%; font-size: small;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr><td>1001</td><td>740</td><td>2001</td><td>370</td><td>Utility filing fee</td><td></td></tr> <tr><td>1002</td><td>330</td><td>2002</td><td>165</td><td>Design filing fee</td><td></td></tr> <tr><td>1003</td><td>510</td><td>2003</td><td>255</td><td>Plant filing fee</td><td></td></tr> <tr><td>1004</td><td>740</td><td>2004</td><td>370</td><td>Reissue filing fee</td><td></td></tr> <tr><td>1005</td><td>160</td><td>2005</td><td>80</td><td>Provisional filing fee</td><td></td></tr> <tr> <td colspan="4" style="text-align: right;"><b>SUBTOTAL (1)</b></td> <td></td> <td style="border: 1px solid black; width: 100px;"></td> </tr> </tbody> </table> </div> <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> <h5 style="margin: 0;">2. EXTRA CLAIM FEES</h5> <p>                         Total Claims: <span style="border: 1px solid black; padding: 2px;">20</span> * = <span style="border: 1px solid black; padding: 2px;">20</span> X <span style="border: 1px solid black; padding: 2px;">20</span> = <span style="border: 1px solid black; padding: 2px;">400</span>                          Independent Claims: <span style="border: 1px solid black; padding: 2px;">3</span> = <span style="border: 1px solid black; padding: 2px;">3</span> X <span style="border: 1px solid black; padding: 2px;">20</span> = <span style="border: 1px solid black; padding: 2px;">60</span>                          Multiple Dependent: <span style="border: 1px solid black; padding: 2px;"></span> = <span style="border: 1px solid black; padding: 2px;"></span> X <span style="border: 1px solid black; padding: 2px;">20</span> = <span style="border: 1px solid black; padding: 2px;">0</span> </p> <table style="width: 100%; font-size: small;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr><td>1202</td><td>18</td><td>2202</td><td>9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>1201</td><td>84</td><td>2201</td><td>42</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>1203</td><td>280</td><td>2203</td><td>140</td><td>Multiple Dependent claim, if not paid</td><td></td></tr> <tr><td>1204</td><td>84</td><td>2204</td><td>42</td><td>**Reissue independent claims over original patent</td><td></td></tr> <tr><td>1205</td><td>18</td><td>2205</td><td>9</td><td>**Reissue claims in excess of 20 and over original patent</td><td></td></tr> <tr> <td colspan="4" style="text-align: right;"><b>SUBTOTAL (2)</b></td> <td></td> <td style="border: 1px solid black; width: 100px;"></td> </tr> </tbody> </table> <p style="font-size: x-small;">*or number previously paid, if greater, For Reissues, see below</p> </div>	Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1001	740	2001	370	Utility filing fee		1002	330	2002	165	Design filing fee		1003	510	2003	255	Plant filing fee		1004	740	2004	370	Reissue filing fee		1005	160	2005	80	Provisional filing fee		<b>SUBTOTAL (1)</b>						Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1202	18	2202	9	Claims in excess of 20		1201	84	2201	42	Independent claims in excess of 3		1203	280	2203	140	Multiple Dependent claim, if not paid		1204	84	2204	42	**Reissue independent claims over original patent		1205	18	2205	9	**Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>						<h4 style="text-align: center; margin: 0;">FEE CALCULATION (continued)</h4> <div style="border: 1px solid black; padding: 5px;"> <h5 style="margin: 0;">3. 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SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	William W. Schaaf	Registration No. (Attorney/Agent)	39,018
Signature		Telephone	(714) 557-3800
		Date	11/18/02

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# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

**Application Number** 09/539344

**Filing Date** March 31, 2000

**First Named Inventor** Ellison, Carl M.

**Group Art Unit** 2785

**Examiner Name** Unassigned

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Sheet 1 of 1

Attorney Docket No: 42P08098

## **US PATENT DOCUMENTS**

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate

## **FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T <sup>2</sup>
	DE-DE4217444	12/03/1992	Toyohisa, Imada , et al.			
	EP-EP0473913	03/11/1992	Farrell, Joel A.			abs

## **OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		BRANDS, STEFAN , "Restrictive Blinding of Secret-Key Certificates", SPRINGER-VERLAG XP002201306, (1995),Chapter 3	
		DAVIDA, GEORGE I., et al., "Defending Systems Against Viruses through Cryptographic Authentication", Proceedings of the Symposium on Security and Privacy, IEEE Comp. Soc. Press, ISBN 0-8186-1939-2,(May 1989)	
		KASHIWAGI, KAZUHIKO , et al., "Design and Implementation of Dynamically Reconstructing System Software", Software Engineering Conference, Proceedings 1996 Asia-Pacific Seoul, South Korea 4-7 Dec. 1996, Los Alamitos, CA USA, IEEE Comput. Soc, US, ISBN 0-8186-7638-8,(1996)	
		LUKE, JAHN , et al., "Replacement Strategy for Aging Avionics Computers", IEEE AES Systems Magazine, XP002190614,(March 1999)	
		MENEZES, OORSCHOT , "Handbook of Applied Cryptography", CRC Press LLC, USA XP002201307, (1997),475	
		RICHT, STEFAN , et al., "In-Circuit-Emulator Wird Echtzeittauglich", Elektronik, Franzis Verlag GMBH, Munchen, DE, Vol. 40, No. 16, XP000259620,(100-103),8-6-1991	
		SAEZ, SERGIO , et al., "A Hardware Scheduler for Complex Real-Time Systems", Proceedings of the IEEE International Symposium on Industrial Electronics, XP002190615,(July 1999),43-48	
		SHERWOOD, TIMOTHY , et al., "Patchable Instruction ROM Architecture", Department of Computer Science and Engineering, University of California, San Diego, La Jolla, CA, (Nov. 2001)	

**EXAMINER**

**DATE CONSIDERED**

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